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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: INTROGENE B.V.

Application No./Patent No.: 5,994,128

Filed/Issue Date: November 30, 1999

Entitled: PACKAGING SYSTEMS FOR HUMAN RECOMBINANT ADENOVIRUS TO BE USED IN GENE THERAPY

INTROGENE B.V., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 8422, Frame 0658, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

**(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8)**

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

September 8, 2000

Date

  
Signature

Domenico Valerio Ph.D.

Typed or printed name

President and CEO

Title

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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MAY 16, 1997 BARBARA RAE-VENTER

PTAS

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Dtd. 5/27/97

UNITED STATES PATENT AND TRADEMARK OFFICE  
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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/25/1997

REEL/FRAME: 8422/0658  
NUMBER OF PAGES: 3✓ Conf.  
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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

FALLAUX, FRITS JACOBUS

DOC DATE: 02/17/1997

ASSIGNOR:

HOEBEN, ROBERT CORNELIS

DOC DATE: 02/17/1997

ASSIGNOR:

VAN DER EB, ALEX JAN

DOC DATE: 02/17/1997

ASSIGNOR:

BOUT, ABRAHAM

DOC DATE: 02/17/1997

ASSIGNOR:

VALERIO, DOMENICO

DOC DATE: 02/17/1997

ASSIGNEE:

INTROGENE

LANGE KLEIWEG 151

2280 GG RIJSWIJK, NETHERLANDS

8422/0658 PAGE 2

SERIAL NUMBER: 08793170  
PATENT NUMBER:

FILING DATE:  
ISSUE DATE:

MAURICE CARTER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

04-08-1997

PATENT  
BOX ASSIGNMENT


ney Docket No. INGE.002.00US

100203778

## RECORDATION FORM COVER SHEET - PATENT'S OFFICE

MRD 3.25.97

MAR 25 1997

<b>1. Name of conveying parties:</b> Frans Jacobus FALLAUX Robert Cornelis HOBEN Alex Jan VAN DER EB Abraham BOUT Domenico VALERIO	<b>2. Name and address of conveying party(ies):</b> INTROGENE Lange Kleiweg 151 2280 GG Rijswijk THE NETHERLANDS Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>3. Nature of conveyance:</b> <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: February 17, 1997	
<b>4. Application number(s) or patent numbers:</b> International Appl. No. If this document is being filed with a new application, the execution date of the application is: A. Patent Application No.: 08/793,170 B. Patent No.(s): Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>5. Name/address of party to whom all correspondence concerning document should be mailed:</b> Barbara Rae-Venter, Ph.D. Rae-Venter Law Group, P.C. P.O. Box 60039 Palo Alto, CA 94306	<b>6. Total number of applications/patents involved:</b> One <b>7. Total fee (37 CFR 3.41):</b> \$40.00 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge deposit account: 18-0020. A triplicate copy of this cover sheet is attached. <b>8. <input checked="" type="checkbox"/> Please apply any additional charges, or any credits, to our Deposit Account No. 18-0020. A triplicate copy of this cover sheet is attached.</b>
<b>9. Statement and signature:</b> To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Barbara Rae-Venter, Ph.D.  <u>March 20, 1997</u> Name of Person Signing Signature Date <input checked="" type="checkbox"/> Total number of pages comprising cover sheet, attachments and document: 3	

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## ASSIGNMENT

93087

WHEREAS FRITS JACOBUS FALLAUX; ROBERT CORNELIS HOEBEN; ALEX JAN VAN DER EB;  
ABRAHAM BOUT AND DOMENICO VALERIO

and each one of them, hereinafter referred to as ASSIGNOR, is a named  
inventor of an invention entitled: **PACKAGING SYSTEMS FOR HUMAN RECOMBINANT  
ADENOVIRUS TO BE USED IN GENE THERAPY**  
described and claimed in the specification in the application Serial No.  
08/793,170 filed FEBRUARY 18, 1997 ; and

WHEREAS, INTROGENE, having a place of business at Lange Kleiweg 151, NL-2280 GG  
RIJSWIJK, THE NETHERLANDS organized and existing under and by virtue of  
the laws of THE NETHERLANDS , and engaged in business at

hereinafter referred to as ASSIGNEE, is desirous of acquiring the  
said invention and any and all applications for Letters Patent and any  
and all letters Patent of the United States and foreign countries  
which may be issued therefor;

NOW THEREFORE THIS IS TO WITNESS that in consideration of the sum of  
One Dollar (\$1.00) paid to ASSIGNOR by ASSIGNEE, the receipt of which  
is hereby acknowledged, and for other good and valuable  
consideration, ASSIGNOR has sold, assigned and set over and hereby  
does sell, assign and set over, unto ASSIGNEE, its successors and  
assigns, his or her entire right, title and interest for, to and  
within the United States and all foreign countries, in and to the  
aforesaid invention, and in and to any and all Letters Patent which  
may be issued therefor in the United States and in any and all foreign  
countries.

And ASSIGNOR hereby authorizes and requests the Commissioner of  
Patents and Trademarks to issue any and all Letters Patent of the  
United States to ASSIGNEE, its successors and assigns, as the owner of  
all right, title and interest therein.

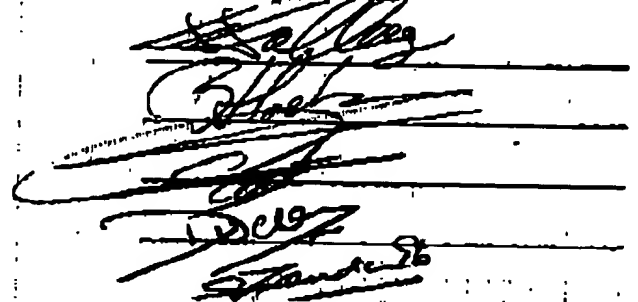
And for said consideration, it is hereby covenanted and agreed that  
at the request and expense of ASSIGNEE, its successors and assigns,  
ASSIGNOR will execute any further papers and do such other acts and  
things as may be necessary and proper to permit ASSIGNEE, its  
successors and assigns, to procure Letters Patent for said invention  
in the United States and in such foreign countries as ASSIGNEE, its  
successors and assigns may elect, and vest the full title thereto in  
ASSIGNEE, its successors and assigns.

IN WITNESS WHEREOF, this assignment has been executed on the day  
and month indicated below.

Date

FEBRUARY 17, 1997FEBRUARY 17, 199717 February 1997FEBRUARY 17, 1997FEBRUARY 17, 1997

Signature



Dr. Frits Jacobus Fallaux  
Peppelschans 77  
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Dr. Robert Cornelis Hoebe  
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2314 EX LEIDEN

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Dr. Abraham Bout  
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2751 AR MOERKAPELLE

Prof. Dr. Domenico Valerio  
Gerbrandylaan 12  
2314 EZ LEIDEN

04-08-1997

PATENT  
BOX ASSIGNMENT

ney Docket No. INGE.002,00US

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## RECORDATION FORM COVER SHEET - PATENT'S COVER SHEET

MRD 3-25-97

MAR 25 1997

1. Name of conveying parties: Frits Jacobus FALLAUX Robert Cornelis HORBEN Alex Jan VAN DER EB Abraham BOUT Domenico VALERIO	2. Name and address of conveying party(ies): INTROGENE Lange Kleiweg 151 2280 GG Rijswijk THE NETHERLANDS Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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5. Name/address of party to whom all correspondence concerning document should be mailed:  Barbara Rae-Venter, Ph.D. Rae-Venter Law Group, P.C. P.O. Box 60039 Palo Alto, CA 94306	6. Total number of applications/patents involved: One  7. Total fee (37 CFR 3.41): \$40.00 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge deposit account 18-0020.  A triplicate copy of this cover sheet is attached.  8. <input checked="" type="checkbox"/> Please apply any additional charges, or any credits, to our Deposit Account No. 18-0020. A triplicate copy of this cover sheet is attached.
9. Statement and signature: To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.  Barbara Rae-Venter, Ph.D. Name of Person Signing <i>Barbara Rae-Venter</i> Signature <i>March 20, 1997</i> Date	
<input checked="" type="checkbox"/> Total number of pages comprising cover sheet, attachments and document: 3	

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 1 581 40.00 CK